



ARIZONA DEPARTMENT OF TRANSPORTATION

HIGHWAYS DIVISION

206 South Seventeenth Avenue - Phoenix, Arizona 85007-3213

December 3, 1992



FIFE SYMINGTON
Governor

GARY K. ROBINSON
State Engineer



JAMES S. CREEDON
Acting Director

Engineering Consultants Services

INFORMATION BULLETIN 93-03

TO: CONSULTANTS

FROM: ENGINEERING CONSULTANTS SERVICES *Don 12-3-92*

SUBJECT: Statement of Qualifications Format and Evaluation Criteria

Enclosed for your information are the newly approved evaluation criteria. They will be used in all ECS solicitations issued after January 4, 1993.

Enclosures:

**HIGHWAY DEVELOPMENT GROUP
Statement of Qualifications
Format and Evaluation Criteria**

Your proposal should include the following:

1. A cover letter not exceeding 2 pages in length.
2. A narrative responding to the various evaluation criteria not to exceed pages in length. (The number of pages will vary based on the complexity of the project.)
3. A maximum of 5 pages of supportive material such as figures, charts tables and photographs.
4. A one (1) page disclosure of corporate structure (if applicable).
5. A completed "Consultant Firm Information Page".

The following describes more specifically, the content of each section.

SECTION I, COVER LETTER (Maximum of 2 pages)

The cover letter should contain the following items:

- o An expression of the firm's interest in being selected for the project.
- o A statement that the firm is pre-qualified with ADOT, or that the necessary pre-qualification information is being submitted with the proposal.
- o A statement confirming the commitment of the key personnel identified in the submittal to the extent necessary to meet ADOT's quality and schedule expectations.
- o A summary of key points regarding the firm's qualifications.

SECTION II, EVALUATION CRITERIA (Maximum of pages)

The information that should be included in the discussion of qualifications is outlined here.

1. Project Understanding and Approach (40 points)
 - a. Discuss generally the tasks involved in this project. Identify any special issues or problems that are likely to be encountered. Demonstrate clearly and concisely your understanding of the technical and institutional elements with which the consultant must deal.
 - b. Outline your proposed approach for dealing with the tasks and issues of this project. Provide a tentative schedule indicating the duration and functional relationship of major tasks and key events. A graphical depiction may be included in the supplemental material.

2. Project Team (30 points)

Identify your proposed project team and its collective qualifications for this particular project. In particular, discuss the following:

a. Project Manager. State who will actively manage this project. Identify any projects that person will be involved with concurrently and time committed to each project. List recent similar projects for which this person has performed a comparable function. Discuss relevant experience, professional registrations, education and other components of qualifications applicable to this project.

b. Project Principal. Identify the person (or persons) who (1) will be responsible for ensuring that adequate personnel and other resources are made available for this project; (2) will handle contractual matters, and; (3) will be ultimately responsible for the quality and timeliness of the consultant's performance. State that person's position and authority within the firm. Discuss previous similar projects for which this person has performed a similar function.

c. Project Engineer(s) and/or Other Key Personnel. Identify other members of the project team including subconsultants that provide special expertise or will perform key tasks. Describe their anticipated roles. Discuss their relevant experience, registration, education and other elements of qualification applicable to this project.

3. Firm Capability (20 points).

a. Discuss recent relevant experience of the firm. Projects listed should be similar in nature to the current project and to the extent possible involve team members proposed for this project.

b. Discuss quantitatively how this project would impact the current and anticipated work load of the office which will perform this work. If "staffing up" will be necessary, discuss which areas and how that would be accomplished.

c. Describe any special equipment, software or other resources your firm has which will enhance your ability to accomplish this project. If you propose to use CADD, describe the applicable training and experience of your staff and identify any previous projects for which you have used CADD.

d. Describe your internal procedures for developing, monitoring and maintaining project schedules and budgets.

e. Describe your internal quality control procedures.

f. Describe any notable expertise, increase in capacity or other special capabilities of your subconsultants that are critical to your proposal.

4. Location of Work (5 points).

Describe where the key elements of this work will be performed (including those by subconsultants). ECS will award points based on the following criteria:

Less than 50% of all work done in state	0 points
At least 50% but less than 95% of all work done in state	1 point
At least 95% of all work done in state	3 points
100% of all work done in state and project convenient (consultant located within 35 miles of principal job site).	5 points

5. Disadvantaged Business Enterprise (DBE) Participation (5 points)

Provide a statement to the effect that you have a current affirmative action plan on file with ADOT. Note if your firm is a certified ADOT DBE. If not, describe the level and nature of DBE subconsultant participation on your project team. Full points for this category will be awarded if you are an ADOT certified DBE, or if the following two conditions are met:

- (1). You have an approved Affirmative Action Plan on file with ADOT.
and
- (2). Ten percent (10%) of the work (by contract amount) will be performed by certified DBE firms,

-or-

You have demonstrated a good faith effort to achieve the 10% DBE utilization goal but have been unable to do so due to the nature of the project or some other condition beyond your control. Examples of conditions beyond your control may be such things as:

- a. ADOT decides to do the DBE portion of the project "in-house".
- b. The DBE firm selected is not able to perform, when required, and no suitable substitute is available.
- c. The portion of the project selected for the DBE was originally equal to at least 10% of the total project, but when it was time for the DBE to proceed, the size of the DBE's project had been reduced, through no fault of the consultant, to less than 10%.

Otherwise no points will be awarded. ADOT Affirmative Action Office will evaluate this category.

6. Disadvantaged Business Enterprise Participation (3 bonus points).

Three bonus points will be awarded for participation by a certified DBE in at least 5% of the design effort. Work is considered to be "design" if it involves preparation of plans, details, cost estimates, specifications or other documents used directly in the actual construction of the project. Right-of-way plans, surveys, geotechnical investigation, and environmental work are not considered to be design for this purpose. No points will be awarded if the 5% goal is not met. ADOT Affirmative Action Office will evaluate this category.

SECTION III. SUPPORTIVE INFORMATION (Maximum of 5 pages).

This section is intended for figures, charts, tables, photographs, resumes, maps, references and other information to support and clarify the discussion in Section II. Fold-out pages are not allowed.

SECTION IV. CORPORATE STRUCTURE (Maximum of one page).

If you are a branch office or subsidiary of another entity, please describe your overall corporate organizational relationship. The purpose of this is to identify, for further consideration, any potential conflicts of interest with other design and construction firms.

**HIGHWAY DEVELOPMENT GROUP
Proposal Evaluation Form**

Questions which the review panel will generally be seeking to answer in their evaluation are listed here. The maximum points available for each category are indicated, though the relative weighting of items within each category is up to the discretion of the individual reviewers.

1. PROJECT UNDERSTANDING AND APPROACH (Maximum 40 points)

- Does the consultant understand the nature and scope of the project and the major tasks and issues that will need to be addressed?
- Has the consultant correctly identified any special problems that are likely to be encountered?
- Does the consultant appreciate the interrelation and relative importance of the various project issues?
- Has the consultant's understanding of the project been expressed clearly and concisely?
- Has the consultant proposed logical approaches for dealing with the project tasks and issues?
- Does the schedule incorporate all the major tasks and events? Does it reflect the interrelationship of important project elements and events? Is the proposed timing realistic?
- Does the consultant understand its responsibilities for the project?

2. PROJECT TEAM (Maximum 30 points)

- What is the level of ability and experience of the proposed project manager? What is the person's record of accomplishing similar projects in the past in terms of (1) quality of work, (2) meeting schedules, (3) responsiveness to special needs and concerns of the client? Is this individual familiar with specific ADOT standards and procedures?
- Does the person identified as ultimately responsible for the consultant's performance have the authority necessary to commit firm resources, and to act on behalf of the consultant regarding contractual matters and disputes? What is this person's experience and record of performance on past projects of similar type and magnitude? Has this individual been responsive to ADOT and/or other clients in the past?
- Do other key members of the project team (including subconsultants) provide the range and level of expertise necessary to deal with the scope of this project? Are these individuals familiar with specific ADOT standards and procedures? Have they worked together as a team before?

3. FIRM CAPABILITY (Maximum 20 points)

- What level of experience relevant to this project does the consultant have? Are the firm's employees with the relevant experience participating in this project? Is the consultant familiar with ADOT standards and procedures? Has the firm shown a particular commitment to this type of work?
- Has the consultant provided quantitative data indicating that qualified personnel will be available for this project? Does the consultant realistically have the ability to add qualified staff if needed for this project or other projects that happen to come on line before this project is completed?
- Will this project benefit from the use of CADD? If so, does the consultant have the type and amount of CADD equipment appropriate for this project? Is the consultant's staff suitably trained and experienced in the use of CADD? Has the consultant successfully used CADD on past ADOT or similar projects?
- Does the firm have other special equipment or software that will be beneficial to this project? Are current staff members familiar with its use? Has it been used successfully before on ADOT or other similar projects?
- Is the consultant's approach for developing and maintaining the project budget and schedule sound? Has the consultant used these procedures successfully on ADOT or similar projects in the past? Are proposed measures to avoid or make up slippage on the schedule realistic?
- Is the consultant's quality control program suitable? Has it been used successfully by the consultant on ADOT or similar projects in the past?
- If one or more subconsultants are critical to the consultant's proposal, do these firms have the technical expertise, available personnel and record of performance appropriate for their anticipated roles?